



U.S. Department of Transportation
Federal Aviation Administration

**ADMINISTRATOR'S
MANAGEMENT
TEAM
OPERATING
GUIDELINES**

October 1992

APO-330

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ADMINISTRATOR'S MESSAGE

The AMT Operating Guidelines document the roles and responsibilities of the agency's senior executive leaders who serve as my closest advisors. These guidelines serve as a living document which can be modified and revised as FAA identifies the need to clarify roles and relationships.

Use these guidelines to introduce new AMT members to the way we work together. Our success rests with the commitment of each of us to comply with the norms we have set forth in these guidelines and to adapt to the roles and relationships we have defined.

We have made tremendous progress in clarifying the role of each of us. These guidelines remind us how we should work with and relate to one another as we strive to accomplish our agency mission. I encourage the continued use of these guidelines.

This volume of the AMT Operating Guidelines updates the March 1990 edition to reflect revised organizational responsibilities.


Thomas C. Richards
Administrator

BACKGROUND

Throughout the 1980's, FAA management made several concerted efforts to integrate and institutionalize the team concept. These efforts included establishing the Administrator's Management Team (AMT) and initiating efforts to unite the agency as "one FAA" with a "Vision of Excellence." The AMT was intended to facilitate communication and build relationships among the Regional Administrators, and between the Assistant Administrators, Associate Administrators, Executive Directors, the Deputy Administrator, and the Administrator.

In July 1989, the Administrator held an AMT teambuilding session in Washington, D.C. The Administrator provided the AMT with his expectations for the teambuilding session, his goals and priorities, his management style, and his impressions of FAA. The Administrator discussed in depth his views of the roles of the AMT members. During the teambuilding, the Administrator charged the AMT members to look at "How we manage the agency" and to identify those issues that needed to be addressed to provide role clarity and reduce role ambiguity.

The AMT teambuilding effort generated a list of concerns that AMT members believed had to be addressed in order to have an effective executive team. The group further refined this list into five significant issues that needed the AMT's attention to resolve role ambiguity. The five major areas were:

1. Policy and Decisionmaking
2. Communication
3. Significant Issue Management
4. Resource Management
5. Fiscal Management

The Administrator directed the Executive Directors to formulate operating guidelines to reflect the AMT roles and responsibilities as they related to these areas.

CHAPTER ONE

AMT MEMBER ROLES

ADMINISTRATOR

- ◆ Serves as principal advisor to the Secretary and Deputy Secretary of Transportation on civil aviation matters and air transportation.
- ◆ Directs and controls the operations of FAA.

DEPUTY ADMINISTRATOR

- ◆ Assists the Administrator in serving as principal advisor to the Secretary and Deputy Secretary of Transportation.
- ◆ Assists the Administrator in directing and controlling the operations of FAA.

EXECUTIVE DIRECTOR

- ◆ Serves as a principal advisor to and representative of the Administrator in the full range of agency activities.
- ◆ With the Administrator, establishes agency policy and strategic plans and participates in corporate decisionmaking.
- ◆ Is accountable to the Administrator for assigned organizational program area.
- ◆ Exercises line authority for the assigned Executive Director organization and serves as a link between the Associate Administrators and the Administrator.
- ◆ Provides leadership and is responsible for horizontal integration within and across organizational reporting lines.

ADMINISTRATOR'S EXPECTATIONS OF EXECUTIVE DIRECTORS

- ❑ The Administrator looks to the Executive Directors for advice on policy issues and turns to them for corporate decisionmaking and policy guidance in areas like the maintenance policy of the future, budget priorities, scope and direction of an R&D program, regulatory policy, design of the air traffic control system for the 21st century, and airport access policy.
- ❑ The Executive Directors are responsible for developing concepts and building strategic plans that set the course of the future.
- ❑ They represent the Administrator in activities with various constituent groups.
- ❑ Horizontal integration means all the pieces must fit. FAA must develop and manage the pieces. The Administrator looks to the Executive Directors to ensure that this "fit" takes place.
- ❑ The Administrator is responsible for total FAA mission accomplishment. The Executive Directors are accountable for accomplishment of programs in their assigned organizational areas. The line of accountability extends down to the lowest level in their organizations. The Executive Directors are the first line of accountability and authority to the Administrator in their program areas and the Administrator's link to their organizations.

ASSOCIATE ADMINISTRATOR

- ◆ Serves as chief operating officer and line manager of an assigned program within the Executive Director organization.
- ◆ Responsible for accomplishing the operational program including fiscal and resource management.
- ◆ Recommends and participates in development of national policy.
- ◆ Implements national policy.

- ◆ Responsible and accountable for program performance and evaluation.
- ◆ Responsible for overall management of organization including assigned field elements.

ADMINISTRATOR'S EXPECTATIONS OF ASSOCIATE ADMINISTRATORS

- The Associate Administrators provide day-to-day direction to their assigned program areas.
- They are accountable to the Executive Directors and to the Administrator for the effective management of all of their resources.
- The Associate Administrators provide support and counsel to the Executive Directors in the development and implementation of national policy. For example, the Associate Administrator for Airway Facilities will be the principal resource in developing the maintenance philosophy of the future. The Associate Administrator for Regulation and Certification will develop the agency policy for future aircraft certification.
- As policy recommendations are developed and approved at the corporate level, the appropriate Associate Administrator would be responsible for implementation.
- As in the past, the Associate Administrators are accountable for the effectiveness of their organizations in carrying out assigned programs while providing a process to measure and document effectively the quality and adequacy of the activities under the jurisdiction of the Associate Administrators. What is meant is the Associate Administrator for Air Traffic must not only manage the Air Traffic organization effectively, but must have an evaluation process that has credibility both within the organization and with other interested parties, including the users of the system, Congress, and DOT.

ASSISTANT ADMINISTRATOR AND CHIEF COUNSEL

- ◆ Serves as senior advisor to Administrator in functional program areas.
- ◆ Accomplishes functional program including fiscal and resource management.
- ◆ Recommends and participates in development of national policy.
- ◆ Implements national policy.
- ◆ Responsible and accountable for program performance and evaluation.
- ◆ Responsible for overall management of organization including assigned field elements.
- ◆ Serves as agency spokesperson in area of program responsibility.

ADMINISTRATOR'S EXPECTATIONS

- In addition to the Deputy Administrator and the Executive Directors, the Assistant Administrators and the Chief Counsel report directly to the Administrator.
- They provide advice to the Administrator, the Deputy Administrator, and the Executive Directors.
- The Assistant Administrators and Chief Counsel speak for the agency in their assigned program areas and help develop the policies that the agency will follow.
- Not all of the organizations have field components so they have different reporting relationships through the agency but, in their areas of responsibility, other senior managers shall keep them involved in and aware of developments.
- Assistant Administrators and the Chief Counsel will be involved in appropriate top-level meetings and they should feel free to attend if they believe that subjects will cover their areas of responsibility or expertise.

- It must be emphasized that their function is predominately to counsel the Administrator, the Deputy Administrator, and the Executive Directors. Their individual program responsibilities are ongoing, and they are responsible for ensuring that their programs are in accord with the requirements that are assigned.

REGIONAL ADMINISTRATOR

- ◆ Serves as principal agency representative in the region to industry, the public, and various governmental bodies.
- ◆ Facilitates resolution of important local program issues and, if unresolvable, elevates the issue to the appropriate headquarters organization.
- ◆ Serves as the "eyes and ears" of the Executive Director for System Operations and the Administrator in the field and appraises overall mission accomplishment in the region.
- ◆ Provides the administrative support to regional organizations.
- ◆ Manages assigned organizations.

ADMINISTRATOR'S EXPECTATIONS OF REGIONAL ADMINISTRATORS

- The Regional Administrator is the Administrator's representative and policy advocate in the field on issues like the Air Traffic Alert and Collision Avoidance System, windshear, Mode-C requirements, Terminal Control Areas, Microwave Landing System, and airport capacity.
- The Regional Administrators are expected to be knowledgeable about issues by maintaining necessary interface with program offices in the Washington headquarters.
- The Regional Administrators are expected to be involved in industry meetings, to convene meetings with state aviation directors, to hold listening sessions, and to serve on various panels in public forums.

- The Regional Administrators are expected to give to the Administrator, Deputy Administrator, and the Executive Director for System Operations their personal thoughts on existing and proposed policy based on what they feel, see, and experience. For example, they will provide their input on drug testing, enforcement policy, and similar issues.
- It is important, in a centralized system, to be responsive to local issues in a timely way. Line organizations can do that when issues do not cross organizational lines. It is more difficult when issues cross lines. Here Regional Administrators have a key role to play. The Administrator looks to them to facilitate the resolution of issues that cross lines. If they cannot resolve an issue, the Regional Administrator is expected to elevate it to the appropriate Washington headquarters office.
- The Associate Administrators and Assistant Administrators are expected to support the Regional Administrators.
- In appropriate cases, the Regional Administrators will be the agency focal points, and decisionmaking authority will be delegated to them.
- Acting as "eyes and ears" for the Administrator, Deputy Administrator, and the Executive Director for System Operations is a very important function. There is no one who could do it more effectively--and there is no one way to do it. Each Regional Administrator needs to do it his or her own way. This function allows us to know "how we are doing" out there. There is nothing complicated about this "appraisal" function. It means an ongoing system feedback mechanism to keep the Washington headquarters in touch with what is happening in the national aviation system.
- The last responsibility is administrative support, which is critically important. But of all of these responsibilities, it is the least important because the Regional Administrators have staff personnel to provide that support. It is less important than serving as "eyes and ears" and handling special projects.

BASIC ASSUMPTIONS IN APPLICATION OF OPERATING GUIDELINES

1. Use common sense and apply good executive judgment.
2. Before elevating an issue, speak to the person with whom you have the issue.
3. Keep your boss informed!
4. Any AMT member may deal directly with the Administrator, especially after having practiced the above assumptions.

CHAPTER TWO

POLICY AND DECISIONMAKING

This section defines the process for corporate policy setting and identifies two major executive decisionmaking entities and three executive level teams.

The definition of corporate policy, as well as the role and accountability of AMT members in developing and implementing this policy, was determined by incorporating the input received from the AMT Teambuilding Session of July 1989 and reviewing existing definitions for FAA policy in Orders 1000.1A, Policy Statement of the Federal Aviation Administration, and 1100.1A, FAA Organization—Policies and Standards. The definition incorporates the most recent AMT thinking and the best of the previously established and approved policy.

The two major decisionmaking entities are the FAA Executive Board and Executive Committees. The numerous additional executive level committees (Acquisition Review Committee, Executive Resource Committee, Executive Selection Committee, etc.) are incorporated under newly defined Executive Committees. The FAA Executive Board is responsible for establishing Executive Committees to review issues and to make recommendations to the FAA Executive Board. The roles and accountability of AMT members related to the FAA Executive Board and Executive Committees are defined in this section.

There are three information-sharing, executive-level teams—the Administrator's Management Team (AMT), Regional Management Team (RMT), and Center Management Team (CMT). The composition of these teams, as well as the roles and accountability of AMT members in relation to these teams, is set forth in this chapter.

POLICY AND DECISIONMAKING

- ◆ Corporate Policy
- ◆ FAA Executive Board
- ◆ Executive Committees
- ◆ Administrator's Management Team

- ◆ Regional Management Teams
- ◆ Center Management Teams

Program / Activity:
CORPORATE POLICY

DEFINITION:

A corporate policy issue requires a standard, one-FAA position and meets the following criteria:

- ◆ Substantially affects or alters any of the agency's major plans or programs or the way they are carried out; or
- ◆ Has a significant impact on a major segment of the aviation community; or
- ◆ Results in a major commitment or shift of agency funds or staffing; or
- ◆ Substantially impacts on other Government agencies; or
- ◆ May result in substantial Congressional reaction.

DESIRED OUTCOMES OF CORPORATE POLICY:

- ◆ Provides clear guidance and direction.
- ◆ Formalizes the process and procedures to be followed.
- ◆ Provides a workable process.
- ◆ Specifies the process for developing, changing, and disseminating policy.
- ◆ Reflects current organizational structure and roles.

ROLES/ACCOUNTABILITY:

Administrator

Establishes and approves agency policy.

FAA Executive Board

Provides forum and structure to make and implement policy decisions or provide policy recommendations.

Executive Director

1. Develops policies for approval by the Administrator.
2. Leads the development, implementation, and evaluation of policy in assigned program areas and coordinates with the FAA Executive Board in the issuance of policy by the Administrator.

Regional Administrator

1. Recommends and participates in development of policy when region-specific and/or cross-organizational perspectives are needed.
2. Implements national policy in assigned program areas and appraises implementation of other policy.

Associate Administrator

1. In assigned program areas, leads the development, implementation, and evaluation of policy.
2. Recommends, participates in, and implements other policy.
3. Leads the development, implementation, and evaluation of policy in assigned program areas and coordinates with the FAA Executive Board in the issuance of policy by the Administrator.

Assistant Administrator and Chief Counsel

1. Provides policy advice directly to the Administrator, Deputy Administrator, and the Executive Directors.
2. Leads the development, implementation, and evaluation of policy in assigned program areas, and coordinates with the FAA Executive Board in the issuance of policy by the Administrator.
3. Recommends, participates in, and implements other policy.

Program / Activity:
FAA EXECUTIVE BOARD

DEFINITION:

- ◆ Composed of the Deputy Administrator, who chairs the FAA Executive Board, and the Executive Directors, and the Assistant Administrator for Budget and Accounting, and the Assistant Administrator for Policy, Planning, and International Aviation.
- ◆ Provides the forum and structure to address agency policy issues and provides counsel and/or recommendations to the Administrator for decision.
- ◆ Serves as the final review authority on issues requiring decisions by the Administrator.
- ◆ Creates Executive Committees as needed.

DESIRED OUTCOMES OF FAA EXECUTIVE BOARD:

- ◆ Provides corporate view.
- ◆ Establishes structure for addressing agency issues.
- ◆ Expedites decisions.
- ◆ Clarifies issues for decisions.
- ◆ Determines priority for issues to be decided.
- ◆ Resolves corporate level differences.
- ◆ Provides corporate identity for executive level decisions.
- ◆ Ensures consistency of decisions with the strategic plan and objectives.
- ◆ Provides credibility to decisions once made.
- ◆ Provides sound advice to the Administrator.
- ◆ Provides periodic senior management review of agency performance.

ROLES/ACCOUNTABILITY:

Administrator

1. Provides direction, philosophy, and scope on agency policy issues.
2. Makes final decision and issues agency policy.

Deputy Administrator

1. Chairs the FAA Executive Board.
2. Works to accomplish desired outcomes.

Executive Director for System Operations

1. Serves as alternate chair.
2. Works to accomplish desired outcomes.

Executive Directors, Assistant Administrators for Budget and Accounting and Policy, Planning, and International Aviation

1. Serve as FAA Executive Board members.
2. Work to accomplish desired outcomes.

All Others (Regional Administrators, Associate Administrators, Assistant Administrators and Chief Counsel)

1. Make presentations to the FAA Executive Board and present recommendations on a given subject after review by one of the Executive Committees.
2. Ensure that all background material is in the hands of each FAA Executive Board member prior to each meeting.
3. Ensure all items are submitted through the appropriate committee or review committee when the FAA Executive Board serves as final review authority for Executive Committee recommendations.

Program / Activity:
EXECUTIVE COMMITTEES

DEFINITION:

- ◆ Assist the Administrator and the FAA Executive Board by reviewing matters of agency policy, budget, and external relations, and other critical issues which may affect the agency's operation.
- ◆ Consist of AMT members or deputies.
- ◆ Chartered by the FAA Executive Board, which will appoint the chair.
- ◆ Follow a standard, agreed upon, and practiced procedure.

DESIRED OUTCOMES OF EXECUTIVE COMMITTEES:

- ◆ Make corporate recommendations to the FAA Executive Board.
- ◆ Provide focus for issues.
- ◆ Make timely recommendations.
- ◆ Achieve broad-based support for recommendations and improve coordination on issues addressed.
- ◆ Resolve significant issues.
- ◆ Solicit appropriate input from all levels.
- ◆ Reach consensus on issues submitted to the FAA Executive Board.
- ◆ Focus on expertise in board composition.
- ◆ Involve Regional Administrators and Associate Administrators in important issue deliberation.
- ◆ Promote executive development in manner consistent with agency's executive succession plan.

ROLES/ACCOUNTABILITY

Executive Director

1. Identifies membership, purpose, charter, and chairperson.
2. Acts in timely fashion on recommendations.
3. Ensures broad executive participation.
4. Proposes appropriate subcommittees.

Associate Administrators, Regional Administrators, and Chief Counsel:

1. Serve as members of Executive Committees when identified by an Executive Director.
2. Solicit input from all levels.
3. Ensure coordination and achieve broad-based support on issues addressed.
4. Work for consensus on issues to be recommended to the FAA Executive Board.
5. Provide resources to support committees.
6. Propose to the FAA Executive Board creation of Executive Committee, as appropriate.

Program / Activity:

ADMINISTRATOR'S MANAGEMENT TEAM (AMT):

DEFINITION:

- ◆ Top management forum for sharing ideas, issues, concerns, and top-down direction from the Administrator. See Appendix 1, Order 1110.114, Administrator's Management Team, for information about the AMT.

DESIRED OUTCOMES OF ADMINISTRATOR'S MANAGEMENT TEAM:

- ◆ Pulls top management together.
- ◆ Shares top-down direction.
- ◆ Gives bottom-up feedback.
- ◆ Communicates and shares ideas, issues, etc. among members.
- ◆ Discusses specific program issues.

ROLES/ACCOUNTABILITY:

1. All members participate as peers.
2. Administrator, Deputy Administrator, Chief of Staff, Executive Directors, Associate Administrators, Assistant Administrators, Chief Counsel, Regional Administrators, Director, FAA Technical Center, and the Director, Europe, Africa, and Middle East Office are members.
3. Administrator normally calls meetings quarterly.

Program / Activity:

REGIONAL MANAGEMENT TEAM (RMT)

DEFINITION:

- ◆ Top management forum for sharing ideas, issues, concerns, and top-down direction from the Regional Administrator.

DESIRED OUTCOMES OF RMT:

- ◆ Establishes process for horizontal (program) and geographic integration to ensure efficiency and effectiveness.
- ◆ Sets regional priorities.
- ◆ Facilitates decisionmaking across program lines.
- ◆ Communicates and shares ideas, issues, etc., among members in support of the “eyes and ears” function of the Regional Administrator.
- ◆ Discusses specific program issues.
- ◆ Pulls RMT members together.
- ◆ Communicates top-down direction and bottom-up feedback.

ROLES/ACCOUNTABILITY:

Executive Director

Executive Director for System Operations holds weekly telecon with Regional Administrators. Other AMT members provide input to the telecon.

Associate Administrator, Assistant Administrator, and Chief Counsel

1. Ensure participation of subordinate managers in the RMT.
2. Coordinate with Regional Administrators on important program impacts in the region.

Regional Administrator

1. Presents regional corporate view to regional line managers and program managers.
2. Provides leadership and team cohesiveness.
3. Facilitates decisionmaking across program lines.
4. Manages assigned program activities.
5. Elevates issues to appropriate headquarters forum.

6. Establishes formalized RMT (charter, order, etc.).
7. Convenes appropriate meetings (staff, quarterly program review, etc.).

Program / Activity:
CENTER MANAGEMENT TEAM (CMT)

DEFINITION:

- ◆ Top management forum for sharing ideas, issues, concerns, and top-down direction from the Associate Administrator for the Aeronautical Center (AMC-1) and the Director, FAA Technical Center (ACT-1).

DESIRED OUTCOMES OF CMT:

- ◆ Establishes unified policy guidance, direction, and priorities on issues involving the management and operation of the Center.
- ◆ Facilitate decisionmaking across program lines.
- ◆ Communicates and shares ideas, issues, etc., among members.
- ◆ Communicates top-down direction and bottom-up feedback.

ROLES/ACCOUNTABILITY:

Executive Director

The Executive Director for System Operations and the Executive Director for System Development communicate regularly with the Aeronautical Center and FAA Technical Center, respectively.

***Associate Administrator, Assistant Administrator,
and Chief Counsel***

1. Ensure participation of subordinate managers in the CMT.
2. Coordinate with Associate Administrator for the Aeronautical Center and the Director, FAA Technical Center, on important program impacts.

***Associate Administrator for the Aeronautical Center
and Director, FAA Technical Center***

1. Present the CMT philosophy to the Center management team.
2. Establish formalized CMT through prescribed, membership, operating procedures, etc., set forth in a local order.
3. Serve as the catalyst for ensuring the concepts of participative management in problem solving, decisionmaking, and teambuilding are applied to CMT activities.
4. Represent the CMT on appropriate Executive Committees.

CHAPTER THREE

COMMUNICATIONS

This section identifies the most important communication arenas, defines expected outcomes of that communication, determines who has the information that needs to be communicated, and describes the links through which the information should be passed and coordinated. This section also identifies the agency communication mechanisms. The list, which appears as a part of this section, is long and includes the very formal avenues of communication, such as GENOT's and RENOT's, as well as the informal hallway exchanges that occur every day. This section does not prescribe which mechanism should be used by AMT members to fulfill their roles in the communication chain.

With respect to communication, the operating guidelines are based on important assumptions including:

- ◆ AMT members are expected to exercise executive judgment when determining with whom they should coordinate or share information.
- ◆ It is not intended that every piece of information be coordinated with every AMT member in every case.

The guidelines in this chapter should be read with the caveats "as appropriate," "as the situation warrants," or "as necessary to reach an acceptable outcome."

COMMUNICATIONS

- ◆ Executive Communications
- ◆ Congressional Communications
- ◆ Communications with OST
- ◆ Communications with the Aviation Community
- ◆ AMT Communications Mechanisms

Program/activity:

EXECUTIVE COMMUNICATIONS

DESIRED OUTCOMES OF EXECUTIVE COMMUNICATIONS:

- ◆ Fewer/shorter meetings
- ◆ Well-informed executives
- ◆ Improved consistency
- ◆ Credible executive cadre
- ◆ Quality and timely decisionmaking
- ◆ Improved political sensitivity
- ◆ Open feedback
- ◆ Cost-effective programs
- ◆ Continued focus on customer and mission
- ◆ Better programmatic guidance
- ◆ Less confrontation
- ◆ Reduced surprises while minimizing irrelevant data
- ◆ Improved ability to delegate
- ◆ Total program integration (horizontal)

ROLES/ACCOUNTABILITY:

Administrator

1. Communicates corporate policy through the Washington AMT members.
2. Provides personal perspective on external concerns.
3. Communicates the Secretary's and Administration's policies and identifies hot issues and priorities regarding agency programs.
4. Gives feedback on program and mission performance.
5. Receives immediate information, when requested, from appropriate AMT member.

Executive Director

1. Provides timely information to the Administrator and the Associate Administrators about important corporate issues.
2. Communicates input received at all meetings to Associate Administrators.
3. Identifies major agency problem areas to the Administrator and Associate Administrators.
4. Provides the Administrator and the Associate Administrators feedback and his or her perspective on external concerns.
5. Provides the Administrator and the Associate Administrators broad program and mission assessment.
6. Provides information to the Administrator and feedback to the Associate Administrators about resource requirements.

Associate Administrator

1. Provides feedback to other AMT members on his or her independent organization and program performance.
2. Alerts the Administrator and keeps other AMT members informed of time-critical issues.
3. Provides information on own program issues, including policy and/or program changes, to all AMT members.
4. Provides feedback to Executive Directors and other Associate Administrators about cross-program impacts of changes.
5. Provides information about hot issues to Executive Directors, subordinates, and appropriate Assistant Administrator or Chief Counsel.
6. Communicates to Regional Administrators and Executive Directors on issues which straight-line Associate Administrators are having trouble resolving.
7. Provides input received at all meetings to subordinates.

8. Coordinates key regional personnel selections with Regional Administrators.

9. Responds to requests from the Administrator.

Assistant Administrator and Chief Counsel

1. Provide information about policy and program changes in their areas to others.

2. Provide information about hot issues and sensitive matters to AMT members as appropriate.

3. Provide information about individual, organization, and program performance.

4. Alert the Administrator and keep other AMT members informed of time-critical issues.

5. Coordinate key regional personnel selections with Regional Administrator when a straightlined organization is involved.

6. Respond to requests from the Administrator.

Regional Administrator

1. Provides coordination of key personnel selections.

2. Provides information about individual, organization, and program performance to Associate Administrators, Assistant Administrators, Chief Counsel, Executive Directors, and then to the Administrator.

3. Provides assessment of program and policy change impacts to Associate Administrators, Assistant Administrators, the Chief Counsel, and in some cases, to the Executive Directors.

4. Provides pertinent and timely information on cross-program issues and problems.

5. Provides information about hot issues to Associate Administrators, Assistant Administrators, the Chief Counsel, and/or Executive Directors.

6. Provides lessons learned to Associate Administrators, Assistant Administrators, the Chief Counsel, and other Regional Administrators.
7. Alerts the Administrator and keeps other AMT members informed of time-critical issues.
8. Responds to requests from the Administrator.

Program / Activity:

CONGRESSIONAL COMMUNICATIONS

(Note: Does not include communications about the budget)

DESIRED OUTCOMES OF CONGRESSIONAL COMMUNICATIONS:

- ◆ Build credibility and trust.
- ◆ Provide information Congress needs and/or wants to know.
- ◆ Gain support for agency priorities.
- ◆ Build understanding among and educate Congressional members and staff.
- ◆ Provide timely exchange of information.
- ◆ Enhance Congressional decisionmaking.
- ◆ Reduce confrontation.

ROLES/ACCOUNTABILITY:

Administrator/Deputy Administrator

1. Deliver testimony and sign correspondence on major issues and policy directions.
2. Meet with and brief key members and staffs.
3. Maintain sensitivity to Congressional special interests.
4. Act as senior policy spokesman for agency.
5. Personally inform key members on hot issues.
6. Seek opportunity to build rapport with key members/staff.

Executive Director

1. Ensures, with Associate Administrator and the Office of Government and Industry Affairs (AGI), education of Congressional members and staff.
2. Establishes liaison with relevant committees and staffs and builds rapport with key members and staffs.
3. Within program areas, represents the Administrator to Congressional oversight groups.
4. Alerts the Administrator to Congressional sensitivities.
5. Advises the Administrator on important Congressional relationships.
6. Maintains awareness of all agency issues, programs, etc., of Congressional interest.
7. Ensures timely and substantive responses to Congressional inquiries.

Associate Administrator/Regional Administrator

1. Maintain a liaison between FAA and the Congress geared to specific program and/or geographic areas and build rapport with key members and staff.
2. Keep Executive Director, Associate Administrator, Regional Administrator, Office of Public Affairs, AGI, and the Administrator informed of Congressional concerns.
3. Support the efforts of the AGI. Consult with AGI on all matters of interest to Congress within specific program and geographic areas. Coordinate all Congressional contacts with AGI.
4. Ensure timely and substantive responses to Congressional inquiries.
5. In coordination with AGI, seek opportunities for Congressional briefings.

6. Within geographic area, represent agency to local Congressional groups. Coordinate contacts with such groups with AGI.
7. Identify legislative initiatives within specific programs.
8. In coordination with AGI, represent agency to oversight groups.
9. In coordination with AGI, conduct outreach in support of agency programs within local districts.
10. Sign Congressional correspondence within delegated authority.

Office of Government and Industry Affairs (AGI)

1. Acts as focal point for all Congressional contacts.
2. Coordinates Congressional activities with the Office of the Secretary.
3. Alerts AMT members on special or hot Congressional issues, as appropriate.
4. Coordinates agency's preparation for and presentation at Congressional hearings.
5. Assists the Chief Counsel in preparation of testimony for Congressional hearings.
6. Seeks out and arranges Congressional staff briefings.
7. Organizes and conducts educational field trips.
8. Consolidates agency reports to Congress.
9. Signs Congressional correspondence within delegated authority.

Office of the Chief Counsel (AGC)

1. Prepares draft legislation.
2. Tracks pending legislation.

3. Prepares testimony for Congressional hearings.
4. Assists in organizing agency's presentation at Congressional hearings.
5. Maintains a liaison between FAA and the Congress geared to specific program and/or geographic areas and builds rapport with key members and staff.
6. Keeps Executive Director, Associate Administrator, Regional Administrator, Office of Public Affairs, AGI, and the Administrator informed of Congressional concerns.
7. Ensures timely and substantive responses to Congressional inquiries.

Office of Public Affairs (APA)

Reviews testimony and assists in preparation of witnesses to ensure consistency with the Administrator's stated agenda.

Program / Activity:

COMMUNICATIONS WITH THE OST

DESIRED OUTCOMES OF COMMUNICATIONS WITH THE OST:

- ◆ Increase credibility and trust between the FAA and OST.
- ◆ Satisfy OST's oversight responsibility.
- ◆ Improve FAA's responsiveness to OST's interests.
- ◆ Create a productive working relationship.
- ◆ Build support for agency policy, programs, and priorities.
- ◆ Improve FAA's efficiency.
- ◆ Provide timely and useful feedback.

ROLES/ACCOUNTABILITY:

Administrator

1. Provides directly to the Secretary fully coordinated FAA recommendations, including all considered options and clearly identified OST views, on key policy, program, etc.

2. Ensures FAA recommendations reflect the Secretary's and the Administration's goals and priorities.
3. Advocates FAA's position.
4. Encourages candor in communications and relations between FAA and OST.
5. Conveys expectations that FAA staff will produce quality recommendations, including all considered options and clear identification of OST views.

Executive Director

1. Ensures horizontal integration of proposed FAA recommendations.
2. Ensures that Assistant Secretaries' participate, or are represented, in briefings to the Administrator.
3. Ensures that recommendations reflect all considered options and clearly identify OST views.

Associate Administrator, Assistant Administrator, and Chief Counsel

1. Produce policy and program recommendations which reflect all considered options and clearly identify OST views.
2. Fully coordinate recommendations within FAA and OST.
3. Ensure that industry, Congressional, and public views are considered and presented.
4. Provide specialized expertise in developing agency position.

Regional Administrator

1. Provides real-world impact and input to Associate Administrators and Assistant Administrators.
2. Provides industry, Congressional, and public views in developing agency position.

**Program/Activity:
COMMUNICATIONS WITH AVIATION
COMMUNITY**

**DESIRED OUTCOMES OF COMMUNICATIONS
WITH AVIATION COMMUNITY:**

- ◆ Build credibility and trust.
- ◆ Provide closer cooperation between FAA and the users.
- ◆ Build better understanding of the system.
- ◆ Reduce confrontation.
- ◆ Provide more input from aviation community.
- ◆ Provide timely, responsive exchange of information.
- ◆ Improve FAA image.
- ◆ Build support for agency priorities.

ROLES/ACCOUNTABILITY:

Administrator

1. Maintains relations with and accessibility to the media, with advice and assistance from the Office of Public Affairs.
2. Advocates FAA's position and supports its people, programs, and mission accomplishments.
3. Places high priority on FAA involvement with the aviation community as a way to provide quality customer service.
4. Seeks opportunities to build rapport with key opinion makers.
5. Supports FAA outreach to and educational efforts in the aviation community.

Executive Director

1. Performs the same role as the Administrator with particular emphasis in his/her directorate area.

2. Maintains relations by participating in and being accessible to the aviation community.
3. Supports the agency's public affairs activities, including outreach efforts and aviation education, with advice and assistance from the Office of Public Affairs and the Office of Training and Higher Education.
4. Uses public affairs expertise in developing aviation community initiatives.

Associate Administrator, Assistant Administrator, and Chief Counsel

1. Place high priority on importance of candid communications with the aviation community.
2. Make use of the Offices of Public Affairs and Government and Industry Affairs expertise.
3. Maintain frequent contact with and acts as liaison to the aviation community.
4. Work with the Office of Public Affairs to disseminate new policies, programs, and other information to the aviation community. Ensure that new information is fully explained and that the agency's rationale for its action is set forth.
5. Assist in presenting agency policies and positions externally.

Regional Administrator

1. Serves as principal point of contact in his/her region.
2. Promotes FAA's image.
3. Provides feedback to Associate Administrators, Assistant Administrators, and Executive Directors on aviation concerns in his/her region while serving as the agency's eyes and ears.
4. Supports agency's public affairs activities including outreach and aviation education.
5. Serves as senior agency spokesperson in his/her region.

6. Builds and maintains working relationships with key local and state officials.

7. Initiates outreach activities in coordination with the Office of Public Affairs.

Office of Public Affairs

1. Assists in presenting agency policies and positions externally.

2. Facilitates development of communication policy.

3. Provides expertise and guidance to Associate Administrators, Assistant Administrators, Executive Directors, and the Administrator in communicating agency's policies and programs.

4. Evaluates and provides feedback on agency's performance.

AMT COMMUNICATIONS MECHANISMS

FAA Directives System	Person-to-Person
Congressional Testimony	Rumor
Airworthiness Directives	FAA Mail
Press Release	Electronic Mail
Senior Staff Meetings	Media Interviews
Telecons	All-Hands Meetings
Executive Staff Meetings	Significant Activities Reports
Meetings	Alert Bulletins
Hotlines	Briefings
Conference	AMT Meetings
Daily Brief	AOA-1 Notes
Memorandums	Order 1100.1A
Notices of Proposed Rulemaking	Aviation Daily Weekly, etc.
FAA Intercom	Budget Process
Press Clippings	Laws and Regulations
Satellite Network	Wednesday Telecons

CHAPTER FOUR

MANAGEMENT OF SIGNIFICANT ISSUES

This chapter on managing significant* issues focuses primarily on the role of the Regional Administrator.

This role changes under three scenarios:

- ◆ Day-to-day management
- ◆ Crisis management
- ◆ Management by exception

On day-to-day matters, the Regional Administrator “facilitates” resolution of issues. This term is clarified in the first chapter to indicate an active, involved role for the Regional Administrator prior to the decision in two circumstances: (1) when the issues are significant (defined by one or more of several criteria), and (2) when the regional division managers cannot reach consensus in more routine matters. In either circumstance, the Regional Administrator works with the appropriate member(s) of the regional management team to achieve consensus. ***If consensus is achieved, the Regional Administrator assumes accountability for the overall decision and implementation, AND program division managers retain accountability for program guidance and implementation of the decision.*** This chapter presents a model for resolving or elevating significant issues in both regions and headquarters.

* NOTE: Significant issues include those which have big resource impacts, a political interest, or are controversial or newsworthy, etc.

During crisis situations (e.g., aircraft accident, strike, national/regional emergency or disaster), the Regional Administrator takes on the role of a ***“field commander-in-charge”*** and has the authority and accountability for regional decisions related to the crisis.

On a more limited basis, the Regional Administrator may be given an agency charter granting authority and accountability for regional decisions within a clearly defined scope of operation.

Finally, the Regional Administrator has an “eyes and ears” appraisal function which requires ongoing feedback through informal processes concerning important program issues. Upon request from the Administrator, Executive Director(s), Associate Administrator(s), Assistant Administrator(s), or the Chief Counsel, the Regional Administrator may direct a formal appraisal within a clearly defined scope of operation.

SIGNIFICANT ISSUE MANAGEMENT

◆ Day-to-Day Management

- Accountability and Elevation of Significant Program Issues
- Decision/Accountability Model—Regional Issues
- Decision/Accountability Model—Washington Headquarters Issues Which Affect the Regional Administrator
- Example: FOIA—Freedom of Information Act
- Example: Management of Aircraft Noise Issues

◆ Crisis Management

- ◆ Management by Exception—Regional Administrator Charters
- ◆ Regional Administrator “Eyes and Ears” Appraisal Role

DAY-TO-DAY MANAGEMENT

Program/Activity:

ACCOUNTABILITY FOR ELEVATION OF SIGNIFICANT PROGRAM ISSUES

DESIRED OUTCOMES OF DAY-TO-DAY MANAGEMENT:

- ◆ Provide a single point of accountability for the overall decision. (Where does the buck stop?)
- ◆ Provide a framework for program advice and decisions within overall decision.
- ◆ Encourage quality decisionmaking at the lowest possible level.
- ◆ Produce a fully coordinated decision.
- ◆ Provide consensus whenever possible.
- ◆ Represent appropriate corporate view, both regional and national, in agency decisions.
- ◆ Ensure stakeholders are committed to decisions.

ROLES/ACCOUNTABILITY:

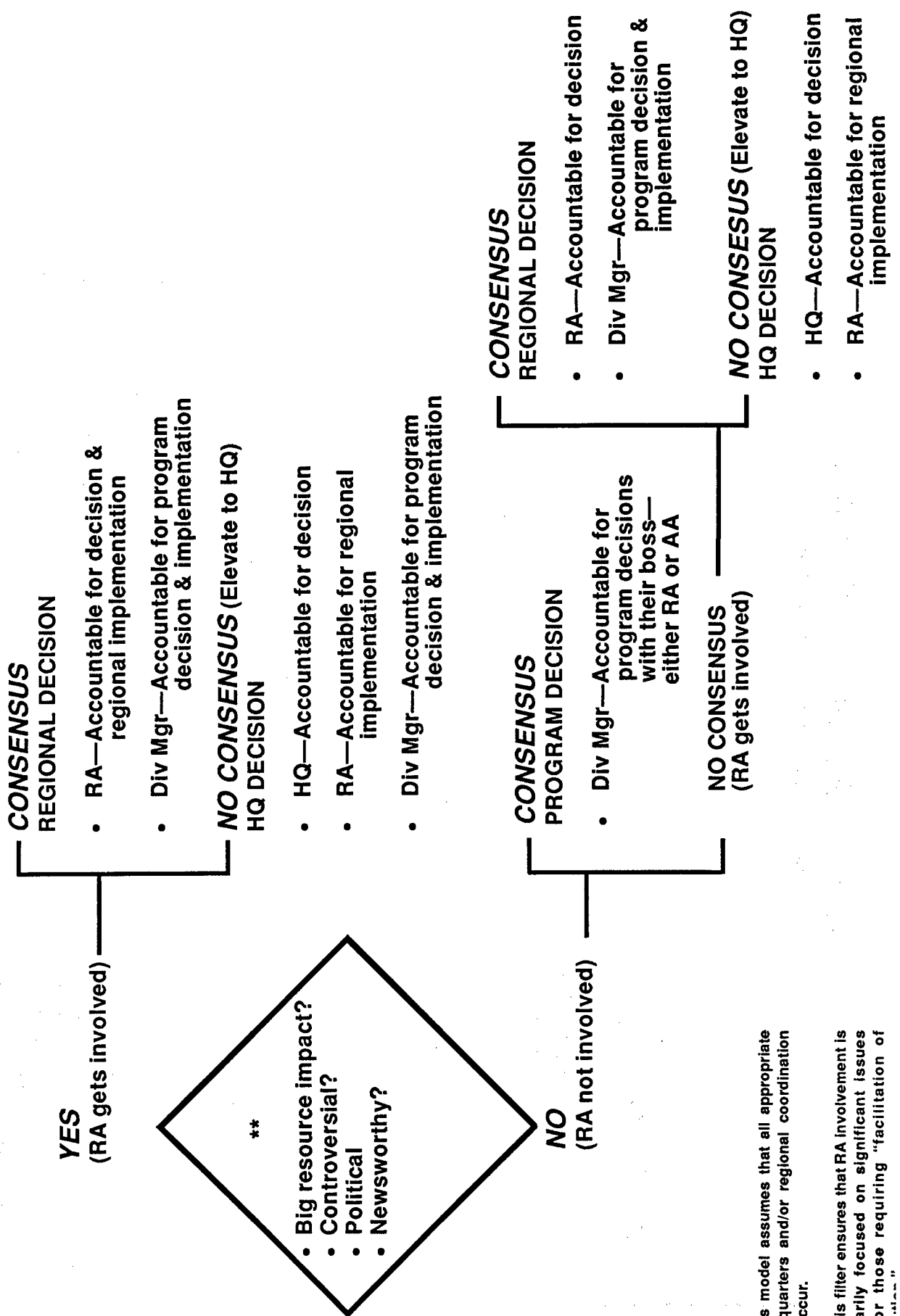
(See Decision/Accountability Models)

To "facilitate resolution of significant issues," Regional Administrators will:

1. Bring the right people together.
2. Ensure free and open exchange.
3. Serve as a full participant to ensure corporate view is considered.
4. Ensure appropriate coordination takes place.
5. Seek consensus and resolution.
6. Ensure implementation and followup.

Decision/Accountability Model

Significant Regional Issues *

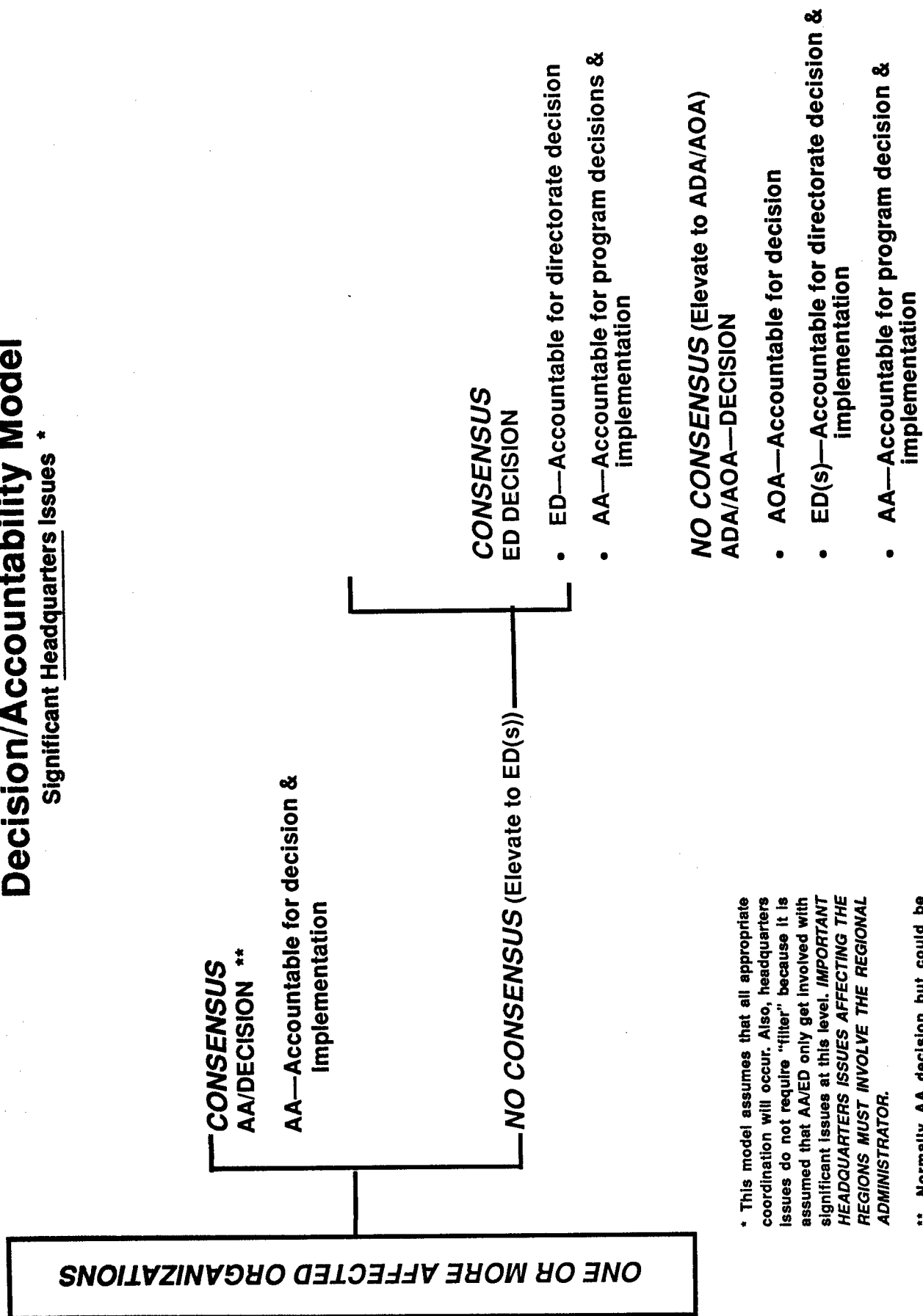


* This model assumes that all appropriate headquarters and/or regional coordination will occur.

** This filter ensures that RA involvement is primarily focused on significant issues and/or those requiring "facilitation of coordination"

Decision/Accountability Model

Significant Headquarters Issues *



* This model assumes that all appropriate coordination will occur. Also, headquarters issues do not require "filter" because it is assumed that AA/ED only get involved with significant issues at this level. **IMPORTANT HEADQUARTERS ISSUES AFFECTING THE REGIONS MUST INVOLVE THE REGIONAL ADMINISTRATOR.**

** Normally AA decision but could be elevated to ED's or ADA/AOA depending on nature of decision.

CRISIS MANAGEMENT

Program / Activity:

MAJOR CRISES

(e.g., aircraft accident, strike, national/regional emergency, national/regional disaster)

DESIRED OUTCOMES OF CRISIS MANAGEMENT

- ◆ Effective media response.
- ◆ Total support for on-site folks.
- ◆ Key FAA people are kept informed by the individuals having the best information.
- ◆ All pertinent and important data are preserved (e.g., accident data).
- ◆ Appropriate FAA people are on-site.
- ◆ Proper human resource management activity takes place (e.g., Employee Assistance Program for counseling FAA personnel; appropriate union interface).
- ◆ Appropriate legal actions taken.
- ◆ Necessary facility certification accomplished.
- ◆ Appropriate logistical support available.
- ◆ Appropriate interface with NTSB and other public agencies, as required.
- ◆ Single agency spokesperson.
- ◆ Coordination with key Congressional representatives.

ROLES/ACCOUNTABILITY:

Administrator

1. Is kept informed.
2. Coordinates with key Congressional representatives.
3. Stabilizes the system by keeping the public informed of the facts and reassuring the public of the safety of the system.
4. Manages the crisis by providing agency leadership. Avoids rushing to judgment.
5. Makes agency decisions.

Executive Director

1. Serves Administrator as required.
2. Responds to and supports unique resource needs.
3. Stays informed, coordinates, and makes decisions within and across directorates, as necessary.
4. Responsible for ongoing planning and critique.

Associate Administrator, Assistant Administrator, and Chief Counsel

1. Stay informed and provide appropriate counsel, advice, and program status.
2. Provide support and direction within program.
3. Responsible and accountable for program decisions.
4. Coordinate with other Associate Administrators, Assistant Administrators, and Regional Administrators.
5. Ensure appropriate directives are carried out.
6. Responsible for ongoing planning and critique.

Regional Administrator

1. Responsible for regional management of crisis and accountable for decisionmaking.
2. Acts as field commander-in-charge for regional crisis.
3. Responsible for regional emergency readiness and crisis management plan.
4. When time permits, coordinates program decisions with program Associate Administrator and others, as appropriate.
5. When time does not permit coordination, ensures decisions are made or makes decisions for regional crisis.
6. Responsible for regional resource management in times of crisis.
7. Responsible for establishing appropriate regional communication channels internally and externally.
8. For national crisis, carries out national decisions and provides regional support.

Office of Government and Industry Affairs

1. Articulates agency policy and decisions to Congress.
2. Responsible for agency credibility with Congress.
3. Gathers information from industry and Congress and alerts appropriate AMT members to potential problems.
4. Stays informed.

Office of Public Affairs

1. Serves as principal agency spokesperson during crisis.
2. Coordinates and facilitates public affairs strategy.
3. Deals with national media.
4. Stays closely linked to on-site public affairs representative.

5. Provides on-site representative, if needed.
6. Stays informed.

MANAGEMENT BY EXCEPTION

Program / Activity:

REGIONAL ADMINISTRATOR CHARTERS

DESIRED OUTCOMES OF REGIONAL ADMINISTRATOR CHARTERS:

- ◆ Make corporate decisions quickly.
- ◆ Make corporate commitments quickly.
- ◆ Act as single agency spokesperson and decisionmaker for highly sensitive issues.
- ◆ Bring greater "local" expertise to management of issues.
- ◆ Reduce day-to-day demands in headquarters.
- ◆ Provide single Regional Administrator focal point to the Washington headquarters for coordination.

CHARTER PROCESS:

Charters are the exception not the rule. Criteria include:

- Major project or subject with many cross-organizational issues
- Controversial, political, visible, or complex issues
- Major system impact
- A single focal point and decisionmaker
- Significant resources
- ◆ Any AMT member may present draft charter to an FAA Executive Board member for consideration by the FAA Executive Board.

- ◆ FAA Executive Board members review proposed charter and make recommendation to the Administrator.
- ◆ If approved, Regional Administrator prepares charter in final form for signature of the Administrator.

CHAPTER FIVE

EYES AND EARS APPRAISAL

Program / Activity:

REGIONAL ADMINISTRATOR

"EYES AND EARS" APPRAISAL ROLE

DESIRED OUTCOMES OF EYES AND EARS APPRAISAL ROLE

- ◆ Identify and elevate critical issues.
- ◆ Recognize and resolve potential problems in a timely manner.
- ◆ Assess goal attainment and program accomplishment.
- ◆ Highlight significant achievements.
- ◆ Maintain awareness of public, industry, and political needs and/or concerns.
- ◆ Maintain awareness of internal organizational relationships and assure timely and appropriate coordination, cooperation, and communication.
- ◆ Maintain objective view of operational effectiveness and an understanding of the user's "world."
- ◆ Provide feedback to users on what we have or have not done with their suggestions and why.
- ◆ Establish that FAA is credible, responsive, and willing to make necessary changes quickly.
- ◆ Provide an ongoing critique of agency strengths and weaknesses.

ROLES/ACCOUNTABILITY

Administrator

Defines and issues policy related to agency appraisal.

Executive Director

1. Keeps Administrator informed.
2. Advises and counsels Associate Administrators and Regional Administrators.
3. Maintains broad overview and awareness of all appraisal activity affecting the Executive Director's organizational complex.
4. Resolves problems as appropriate; i.e., those which cannot be resolved by Associate Administrators or Regional Administrators.

Associate Administrator, Assistant Administrator, and Chief Counsel

1. Maintain awareness of problems identified through appraisal processes.
2. Provide results from formal program appraisals and evaluations to Regional Administrators as appropriate; i.e., to affected regions or regions that could benefit from appraisal information.
3. Resolve problems identified by Regional Administrator and appraisals.
4. Advise Regional Administrators of issues that warrant attention and appraisal.
5. Emphasize to Washington personnel and division managers the necessity of keeping Regional Administrators informed (including input on division manager self-appraisal of "how goes it").

Regional Administrator

1. Maintains awareness of regional activity; e.g., program issues, political interests, user problems/concerns, public needs/concerns.
2. Develops an information system that provides "ongoing" assessment of plans, problems, accomplishments, and goal attainment.
3. Stays informed through staff meetings, quarterly program reviews, listening sessions, user meetings, (with appropriate division manager participation), State Aviation Director meetings, etc.
4. Advises and counsels division managers on problem resolution.
5. Informs Associate Administrators, Assistant Administrators, and Chief Counsel of critical, controversial, and noteworthy items.
6. Notifies Associate Administrators when formal program appraisal is considered to be necessary.
7. Monitors schedules and structure of division evaluations and reviews results.
8. Maintains familiarity with all directives issued by regional organizations which concern regional programs and mission.

Regional Division Manager

1. Provides copies of all evaluation and appraisal results to Regional Administrator.
2. Keeps Regional Administrators informed of significant activity (before the fact, when possible).
3. Participates as member of the Regional Management Team.
4. Participates in user meetings, all-hands meetings, etc., with Regional Administrator.
5. Provides input on goal accomplishment, plans, problems, etc., to Regional Administrator.

The regional division manager role is included in AMT Operating Guidelines for this activity because of the important link between the Regional Administrators and the straightline organizations in the "Eyes and Ears" appraisal role.

The Administrator made the following statement regarding the expectations of the Regional Administrator's "Eyes and Ears" appraisal role.

This is a very important function. There is no one who could do it more effectively and there is no one way to do it. Each Regional Administrator needs to do it his or her own way. This function allows us to know "how we're doing" out there. There is nothing complicated about this "appraisal" function. It means an ongoing system feedback mechanism to keep us in touch with what's happening in the national aviation system.

Using this description to define the Regional Administrator's appraisal role, it becomes clear that an ongoing, formal "appraisal program," organized and conducted by a Regional Administrator, is not appropriate or desired. The Regional Administrator's "Eyes and Ears" appraisal role should be an informal process that is routine and occurs on a day-to-day basis, unless he or she is requested to conduct a formal appraisal by the Administrator, an Executive Director, an Associate Administrator, an Assistant Administrator, or the Chief Counsel.

Substantial resources are available to the Regional Administrator to assist in accomplishing the day-to-day appraisal role. Likewise, a substantial amount of information flows to the Regional Administrator through various avenues. These resources and information-gathering avenues should be identified and organized in a way to ensure that a Regional Administrator has a routine process which enables him or her to know "how we're doing out there" and "how we're doing within."

Informal Appraisal Process

The following is a partial list of information sources that will enable a Regional Administrator to maintain an overall awareness of regional activity:

- ◆ Regional Administrator's executive "total region" and "global" perspective.
- ◆ Individual conversations and meetings with Regional Management Team.

- ◆ Meetings and conversations with Associate Administrators, Assistant Administrators, and Chief Counsel and their representatives.
- ◆ Listening sessions and individual visits with airport authorities, alphabet groups, industry representatives, aviation operators, and other user groups, as well as local and state government representatives and officials, and congressional representatives.
- ◆ External publications.
- ◆ Telecons, visits with local and area coordinators and field office and facility managers.
- ◆ Outbriefings and reports of all evaluation, appraisal, audit, or review of any activities, facilities, or issues in the region.
- ◆ Monitoring and analyzing agency and regional data bases, including existing and new information systems. Examples:
 - Performance indicator systems.
 - Agency effectiveness survey.
 - Objectives tracking systems; program review.
 - Risk assessments and internal control reviews under OMB Circular A-123.
 - Major project plans and status reports.
 - Briefings and reports on special initiatives and projects.
 - Significant activities reports.
 - Congressional correspondence.
 - Financial management data.
 - Forecasts of and statistics on aviation activity.
 - Policy and procedures documents.
 - Appraisal and evaluation reports conducted by national or regional program offices.

When significant issues are identified, they should be resolved through discussion with appropriate parties; e.g., division managers, users, industry groups. When resolution cannot be effected locally, the Regional Administrator will elevate the issue for action to the appropriate Washington headquarters office as follows:

Recipients of Information/Issues:

Administrator

Feedback in broadest context:

- ◆ Total agency climate
- ◆ Major issues and activities
- ◆ User and general public concerns
- ◆ Responsiveness
- ◆ Strategic planning issues

Executive Director

Feedback directed to specific interests:

- ◆ Multiprogram effectiveness
- ◆ Multiprogram issues/problems
- ◆ User and general public concerns
- ◆ Responsiveness
- ◆ Opportunities for recognition or improvement
- ◆ Strategic planning issues

Associate Administrator, Assistant Administrator, and Chief Counsel

Specific to program specialty:

- ◆ Recognition of positive indicators
- ◆ Advisories for effective mission accomplishment
- ◆ Program effectiveness

- ◆ External perceptions
- ◆ Program issues/problems

Regional Program Division Manager

Specific to program specialty and regional teamwork:

- ◆ Recognition of positive indicators
- ◆ Advisories for objective and mission accomplishment
- ◆ Multiprogram issues
- ◆ External perception

Formal Appraisal Process:

A formal appraisal will be conducted by a Regional Administrator only when such activity is agreed to or requested by the Administrator, an Executive Director, an Associate Administrator, an Assistant Administrator, or the Chief Counsel. When a formal appraisal is deemed appropriate, the Regional Administrator:

1. Designates Regional Appraisal Officer to serve as chairperson of the appraisal team.
2. Identifies and sets forth in writing the scope of the appraisal.
3. Prepares an appraisal plan and provides a copy to the appropriate Washington headquarters office(s).
4. Identifies, with Washington headquarters office support, members of the appraisal team.
5. Ensures timely and efficient conduct of the appraisal process.
6. Discusses the appraisal findings and recommendations with the appropriate division manager(s) to seek concurrence. He/she will fully consider comments and viewpoints and make changes when deemed appropriate. The Regional Administrator is responsible for the final recommendations he/she will approve to be included in the final report.

7. Implements recommendations that fall within regional authority. Recommendations requiring implementing authority at the national level will be signed by the Regional Administrator and forwarded to the appropriate Washington headquarters office. A final copy of the appraisal report will be submitted to the Executive Director for Acquisition and Safety Oversight and the appropriate Washington headquarters office.

CHAPTER SIX

RESOURCE MANAGEMENT

This chapter addresses roles and establishes accountability in all resource management activities except fiscal management.

A generic model of AMT roles and interactions is included. Generally, most resource management activities follow the model. However, some variations are outlined in the description of a host of AMT initiatives and activities in this chapter.

The listing of desired outcomes for each topic provides a summary of AMT ideals and aspirations for each program and initiative. The outcomes and roles attempt to provide the framework for the effective management of agency resources.

RESOURCE MANAGEMENT

- ◆ Resource Management Model
- ◆ Technical Training
- ◆ Equal Employment Opportunity
- ◆ Managing Agency Growth
- ◆ Setting Support Service Priorities
- ◆ Managing Cultural Change
- ◆ Selecting Key Agency Personnel
- ◆ Performance Management
- ◆ Executive Development for Succession Planning
- ◆ Special Resource Programs

RESOURCE MANAGEMENT



Regional Administrator

Line Associate or Assistant Administrator

Executive Director

FAA Executive Board

— Provide program support

— Set program standards

— Represent Executive Director organization

— Sets agency priorities

— Secure Resources

— Monitor accomplishment

— Secure resources

— Provide guidance

— Resolve Cross-Dir. differences

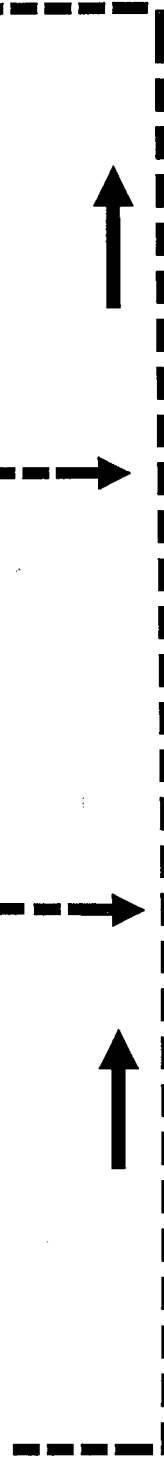
— Identify short-falls/surpluses

— Resolve cross-program differences

— Identify issues/imbances

— Keep Regional Administrator informed

— Ensure balanced program



— = FEEDBACK

Program/Activity:
TECHNICAL TRAINING

DESIRED OUTCOMES OF TECHNICAL TRAINING:

- ◆ Employees receive the training they need to do the job.
- ◆ There is agreement on resource allocation.
- ◆ The work force is able to do the job it is expected to do, in accordance with a standard.
- ◆ Functions performed consistently throughout the agency.
- ◆ Highest priority training is done first.
- ◆ Training is accomplished in a timely manner.

ROLES/ACCOUNTABILITY:

Administrator

Establishes agency policy, goals, and objectives.

Executive Director

1. Sets priorities for technical training for the Executive Director organization.
2. Establishes most appropriate distribution of available resources, resolving issues that cross program lines.
3. Elevates to the FAA Executive Board or Executive Committees, if unresolvable.

***Associate Administrator, Assistant Administrator,
and Chief Counsel***

1. Set standard for technical training.
2. Secure resources.
3. Set priorities and costs and determine available funds.
4. Identify shortfalls and surpluses and resolve shortfalls within program. Release surplus.

5. Communicate program content to Regional Administrator; e.g., new hires, technical training quota requirements, priorities, major issues.
6. Establish distribution of available resources, resolving issues within his/her program areas.
7. Elevate to Executive Director issues which are unresolvable.

***Assistant Administrator for Human Resources Management
and Associate Administrator for the Aeronautical Center***

1. Help define what training should be.
2. Arrange to provide training either internally or externally.
3. Elevate to Executive Director issues which are not resolved and issues having national implications.

Regional Administrator

1. Ensures work force is being trained in accordance with centralized training requirements.
2. Monitors training for cross program balance.
3. Arranges for training, quota, and evaluates and monitors Training Program Management Officer program accomplishment.
4. Identifies "issues" and concerns related to unbalanced training programs and notifies appropriate Associate Administrator or Assistant Administrator.
5. Identifies any problem to appropriate Associate Administrator or Assistant Administrator.
6. Elevates issues to the appropriate Executive Director if the Regional Administrator and the Washington headquarters official do not agree on a decision.

FAA Executive Board

1. Resolves cross-organizational issues.
2. If not resolved, elevates issue to the Administrator for decision.

Program / Activity:
MANAGING AGENCY GROWTH

DESIRED OUTCOMES OF MANAGING AGENCY GROWTH:

- ◆ Effective staffing standards in all functions.
- ◆ Strong position management.
- ◆ No duplication of effort.
- ◆ Effective use of contractors.
- ◆ Timely and effective OMB Circular A-76 program.
- ◆ Optimal use of automation.
- ◆ Overhead minimized—lean, clean organization.
- ◆ Locate employees where they can perform best.
- ◆ Provide effective services to our customers, responding to industry growth or changes.
- ◆ Focus on accomplishing agency priorities.
- ◆ Have a high quality of life and optimum work environment for employees, including all ancillary services the agency should provide.
- ◆ Relocate functions from the Washington headquarters, 800 Independence Avenue, as appropriate.

ROLES/ACCOUNTABILITY:

Administrator

1. Establishes agency policy, goals, and objectives.
2. Approves and advocates the decisions on strategic growth level issues.
3. Serves as agency advocate to OST, Congress, and the public.

FAA Executive Board

1. Ensures that strategic agency-level growth issues are addressed; e.g., regional consideration, space.

2. Recommends appropriate action to Administrator on cross-organizational or other issues.
3. Responsible for agency level growth management plan both short and long term.

Executive Director

1. Challenges resource requirements.
2. Advocates and secures agreed upon resource requirements.
3. Ensures Executive Director's organizational complex uses effective growth management measures.
4. Maintains corporate view and elevates significant issues.

Associate Administrator, Assistant Administrator, and Chief Counsel

1. Validate tasks and keep staffing standards current.
2. Establish staffing standards and provide strong position management.
3. Determine where a task is most effectively performed and accomplish it.
4. Identify workload and defend budget.
5. Produce work program management plan consistent with allocated resources and priorities.
6. Ensure optimal use of automation, organization, training, etc.
7. Seek out and implement improved work methods.

***Regional Administrator (Support Functions)
Shared Role with Associate Administrators,
Assistant Administrators, and the Chief Counsel***

1. Validate tasks and keep staffing standards current.
2. Establish staffing standards and provides strong position management.

3. Determine where a task is most effectively performed and accomplish it.
4. Identify workload and defend budget.
5. Produce work program management plan consistent with allocated resources and priorities.
6. Ensure optimal use of automation, organization, training, etc.
7. Seek out and implement improved work methods.
8. Consult with and provide feedback to appropriate Washington headquarters officials on standards, job functions, workload, resource, quality of service.

Program / activity:
MANAGING CULTURAL CHANGE

e.g., Employee Involvement (EI), Survey Feedback Action (SFA), Supervisory Identification and Development (SIDP) Training, Supervisory Selections, Candidate Development Program (CDP).

SOME ELEMENTS OF AN ORGANIZATION'S CULTURE:

- ◆ Geographic variations, local customs, and practices.
- ◆ Attitudes.
- ◆ How we treat and work with each other.
- ◆ How we do things around here.
- ◆ Values.
- ◆ Work environment.
- ◆ Ethics.
- ◆ Structure.
- ◆ Expectations.
- ◆ How each person fits in.
- ◆ Reward system.
- ◆ Reputation.

- ◆ Perception.
- ◆ Occupational characteristics.
- ◆ Public image.
- ◆ Operational imperative; real time element.
- ◆ Technology driven.

DESIRED OUTCOMES OF MANAGING CULTURAL CHANGE:

- ◆ People understand where the organization is going.
- ◆ People relate to and support the mission, agency goals, and organization “vision.”
- ◆ People are not threatened by technological changes.
- ◆ People’s behavior would be what you want it to be—you would know the desirable behavior.
- ◆ Satisfied work force.
- ◆ High level of productivity.
- ◆ Culture will fit the technology.
- ◆ Cultural consideration in technology changes.
- ◆ Rewarding desired behavior.
- ◆ Managers, supervisors, and employees deal well with each other.
- ◆ Managers understand they can share responsibility with the people they manage.
- ◆ Recognize and act on natural people/organizational variations: geography, organization discipline, organization hierarchy (Washington headquarters, region, and field), ethnic background, age, and education.
- ◆ Day-to-day organizational support systems are changed in line with accomplished cultural change (technical and managerial training, performance management system, recruitment, administrative systems, etc.).
- ◆ A way to figure out the desired culture.
- ◆ Ongoing evaluation.
- ◆ Driven by senior management, strong leadership commitment.

- ◆ Frequently renewed organization vision.
- ◆ Long-term commitment.
- ◆ Clarity about what has been accomplished—way to measure.
- ◆ It is clear to organizational members what has been accomplished.

ROLES/ACCOUNTABILITY:

Administrator

1. Establishes agency policy, goals, and objectives.
2. Establishes cultural norms and identifies areas for change.

Executive Director

1. Provides appropriate resources for change effort.
2. Shares vision; provides leadership; articulates goals.
3. Develops continuity and uniformity of practice.
4. Evaluates progress.
5. Participates actively in the process. Demonstrates cultural change is a management priority and a continuous process.
6. Provides senior counsel and support to managers in region(s).
7. Solicits input from two sources: appropriate Associate and Regional Administrator.

Associate Administrator, Assistant Administrator, and Chief Counsel

1. Has principal responsibility to provide appropriate resources for change effort.
2. Share vision; provide leadership; articulate goals.
3. Develop continuity and uniformity of practice.
4. Evaluate progress.

5. Participate actively in process. Demonstrate that cultural change is a management priority and a continuous process.
6. Collaborate with and enlist program support from Regional Administrator.
7. Ensure organization meets program objective.
8. Solicit input from Regional Administrator as well as Division Manager.

Regional Administrator

1. Provides appropriate resources for change effort.
2. Shares vision; provides leadership; articulates goals.
3. Develops continuity and uniformity of practice.
4. Evaluates progress.
5. Participates actively in process. Demonstrates cultural change is a management priority and an a continuous process.
6. Provides support to appropriate Washington headquarters official for program accomplishment (e.g., HR).
7. Provides senior counsel and support to managers in region.
8. Monitors program progress and accomplishment in region and field and provides feedback to appropriate Washington headquarters official.
9. Provides line organization Division Manager with feedback provided to Washington headquarters official.

Program / Activity:
SELECTION OF KEY AGENCY POSITIONS

DEFINITION OF KEY AGENCY POSITIONS:
Assistant division manager level and above

**DESIRED OUTCOMES OF SELECTION OF
KEY AGENCY POSITIONS:**

- ◆ Individuals capable and well-prepared to perform in position.
- ◆ Team player.
- ◆ People representative of agency profile.
- ◆ Good technical and people skills.
- ◆ Timely.
- ◆ Managerially mature.
- ◆ Readily available, capable pool.
- ◆ To have a criterion for "a capable person" and apply it.
- ◆ Well-rounded candidate.
- ◆ Public confidence.
- ◆ An effective succession-planning process.
- ◆ Mobility.

ROLES/ACCOUNTABILITY:

Administrator

1. Establishes the criteria for senior manager competencies.
2. Consults and concurs on SES positions.
3. Consults and coordinates selection of Assistant Administrator and Executive Director positions, other than Schedule C positions, with the FAA Executive Board.

Executive Director

1. Consults and concurs on SES selections.
2. Resolves disputes related to selection decisions.
3. Advises Administrator on senior manager competencies.

Assistant Administrator for Human Resource Management

Recommends competencies and processes to support succession planning effort.

***Regional Administrator—Scenario 1
(Regional Staff, Division Manager)***

1. Is selecting official.
2. Ensures appropriate personnel process.
3. Conducts early consultation with appropriate Washington headquarters official.
4. If the Washington headquarters official does not support selection, elevates concern to appropriate Associate Administrator, Assistant Administrator, or Executive Director. (Given—talk to the person with whom you have issue before elevating.)
5. Makes selection.

***Associate Administrator or Office Director—Scenario 2
(Straightline Division Manager Position)***

1. Is selecting official.
2. Conducts early consultation with appropriate Regional Administrator.
3. Ensures appropriate personnel process.
4. Ranks candidate (if appropriate, uses panel which includes, at a minimum, Deputy Regional Administrator, Washington headquarters representation, and one existing Division Manager).

5. Develops best qualified list.
6. If agreement is not possible, elevates to appropriate, Executive Director.

EXECUTIVE BOARD:

These positions, at a minimum, will be reviewed by the FAA Executive Board:

1. Regional Administrator, Deputy.
2. Center Director, Deputy.
3. Associate Administrator, Deputy.
4. Assistant Administrator, Deputy (except for Schedule C positions).
5. FAA Academy Superintendent.
6. Director, Center for Management Development.

Program / Activity:

PERFORMANCE MANAGEMENT

—system by which we establish work objectives and against which we measure recognition and performance improvement.

DESIRED OUTCOMES OF PERFORMANCE MANAGEMENT:

1. People who know what they are supposed to do and what management expects.
2. Measurable objectives that are expressed in clear, meaningful, understandable language.
3. Awards system with credibility, meaning, and value to employees.
4. A system that is self-motivating, self-perpetuating and creates an environment for motivating employees.

5. Productive and satisfied work force.
6. Few grievances and complaints.
7. Consistent application across organizational lines between supervisors.
8. People would be “success” oriented.
9. Continuous process--not a discrete event.

ROLES/ACCOUNTABILITY:

Administrator and Executive Director

1. Ensure organization follows established performance management program.
2. Ensure management tools are developed, communicated, and in place.
3. Track results of the rating process.
4. Provide managers, supervisors, and employees time to work on performance management.
5. Set schedules and milestones for organization.
6. Serve as agency role model for effective performance management practice by providing meaningful performance discussions, short, concise evaluations, and quality control.

Associate Administrator, Assistant Administrator, and Chief Counsel

1. Ensure organization follows established performance management program.
2. Ensure management tools are developed, communicated, and in place.
3. Track results of the rating process.
4. Ensure that managers, supervisors, and employees have time to work on performance management.

5. Set schedules and milestones for organization.
6. Serve as agency role models for effective performance management practice by providing meaningful performance discussions, short, concise evaluations for personal appraisal and quality control.
7. Ensure Regional Administrator's input into line manager appraisal. If disagreement occurs, elevate the issue to the appropriate Executive Director.

Associate Administrator for Human Resource Management

1. Ensures organization follows established performance management program.
2. Ensures management tools are developed, communicated, and in place.
3. Tracks results of the rating process.
4. Sets schedules and milestones for organization.
5. Serves as agency role model for effective performance management practice by providing meaningful performance discussions, short, concise evaluations, and quality control.
6. Responsible for overall performance management program/system.

Regional Administrator

1. Ensures organization follows established performance management program.
2. Ensures management tools are developed, communicated, and in place.
3. Tracks results of the rating process.
4. Provides managers, supervisors, and employees time to work on performance management.
5. Sets schedules and milestones for organization.

6. Serves as agency role model for effective performance management practice by providing meaningful performance discussions, short, concise evaluations, and quality control.
7. Provides written input into line organization appraisals to appropriate offices, divisions, Associate Administrators, Assistant Administrators, and the Chief Counsel.
8. If disagreement occurs, elevates the issue to appropriate Executive Director.

Program / Activity:
EXECUTIVE DEVELOPMENT FOR SUCCESSION
PLANNING SES/CDP

DESIRED OUTCOMES OF EXECUTIVE DEVELOPMENT:

- ◆ Resources are identified to support an agency-level program.
- ◆ Responsive to needs of agency (skills, managerial competency plan)—“people get the training they need.”
- ◆ High level of commitment—demonstrated through budget allocation.
- ◆ People would be qualified to perform the supervisory/management positions they hold and prepared to move to higher level.
- ◆ “On-the-job” opportunities for development are provided.
- ◆ Objective nomination and selection process for participation that is predictive of success; balance within and between operational and support elements of the agency.
- ◆ Managers and supervisors take responsibility for self-development.
- ◆ Participants are mobile related to job assignments. (mobility = functional and/or geographical).
- ◆ An evaluation mechanism to check for retention and success is in place.
- ◆ Independent review for recommendation to Administrator takes place.

- ◆ Post-program placement component is in place for both successful and unsuccessful candidates.
- ◆ Target positions are filled from the pool of candidates.
- ◆ Baseline for this program is established at branch/staff/facility level for GS-14 level and above.

ROLES/ACCOUNTABILITY:

Administrator

1. Establishes agency policy, goals, and objectives.
2. Provides final approval of candidates.

Executive Director

1. Ensures minimum requirement for training is met for newly selected GS-14 branch/staff facility level and above.
2. Identifies and recommends high potential candidates.
3. Provides input into prescribed program evaluation process.
4. Participates in prescribed evaluation process.
5. Supports and coordinates on nominations and selections from Directorate.

FAA Executive Board

1. Reviews and approves final selections of candidates for recommendation to Administrator.
2. Ensures availability of resources.
3. Approves Individual Development Plans (IDP) for candidates.

Associate Administrator, Assistant Administrator, Chief Counsel, and Regional Administrator

1. Ensure minimum requirement for training is met for newly selected GS-14 branch/staff facility level and above.

2. Identify and recommend high potential candidates for advanced training and development.
3. Ensure selected candidate is available for prescribed training.
4. Provide input into prescribed program evaluation process.
5. Participate in prescribed evaluation process.

Program / Activity:

SPECIAL RESOURCE PROGRAMS

e.g., Employee Assistance Program (EAP), Daycare, Wellness Programs, Special Training Initiatives, Summer Hires, Organization Development (OD), and Aviation Education.

DESIRED OUTCOMES FOR SPECIAL RESOURCE PROGRAMS:

- ◆ Meet unique regional requirements.
- ◆ Meet some common employee needs and/or concerns throughout agency.
- ◆ Provide opportunity to experiment with other methods.
- ◆ Provide broadened entry-level hiring opportunities.
- ◆ Strengthen and improve horizontal communications and relationships.
- ◆ Support and meet community "good employer" obligation.

ROLES/ACCOUNTABILITY:

Administrator

Establishes agency policy, goals, and objectives.

FAA Executive Board

1. Recommends agency policy, goals, and objectives.
2. Provides support to agency programs.

Executive Director

Resolves issues elevated by Associate and/or Regional Administrators.

Associate Administrator, Assistant Administrator, and Chief Counsel

Staff/Support Organizations:

1. Provide policy guidance.
2. Provide and/or obtain resources, if appropriate.
3. Provide a standard for equitable opportunity, as appropriate.
4. Monitor and evaluate effectiveness.
5. Arrange for institutionalization of successful programs.

Line Organization:

1. Supports established agency policies.
2. Identifies requirements and secures resources for special programs unique to line organizations in region and coordinates with Regional Administrator and the Regional Management Team (RMT) (e.g., flexitime).
3. Monitors and provides feedback to Regional Administrator and RMT on program effectiveness. Elevates unresolved problems to appropriate line Executive Director.

***Regional Administrator
(through Regional Management Team)***

1. Identifies and defines needs and requirements.
2. Identifies and determines resources required.
3. Secures resources.
4. Evaluates effectiveness of program.

5. Coordinates with appropriate Washington headquarters officials.
6. Elevates unresolved issues to appropriate Executive Director.
7. Monitors and provides feedback on cross-organization issues.

ORDER

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1110.114

3/1/90

SUBJ: ADMINISTRATOR'S MANAGEMENT TEAM

1. **PURPOSE.** This order establishes the Administrator's Management Team (AMT) and announces the existence of a publication known as the AMT Operating Guidelines.
2. **DISTRIBUTION.** This order is distributed to division level in Washington, regions, and centers.
3. **MISSION.** The AMT assists the Administrator and the FAA Executive Board by reviewing matters of agency policy, budget, and external relations, and other critical issues which may affect the agency's operation. The AMT will clarify issues and provide advice and recommendations to the Administrator and the FAA Executive Board.
4. **FUNCTIONS.** The team serves as a senior management forum for sharing ideas, issues and concerns, and receiving direction from the Administrator and providing information to the Administrator. All members participate as peers.
5. **COMPOSITION.** The Administrator's Management Team consists of senior management officials who report to the Administrator directly or through an Executive Director and other FAA executives as the Administrator designates. The Administrator serves as the Chairperson and the Deputy Administrator serves as the Vice-Chairperson. The Executive Director for Administration and Resource Management serves as Second Vice-Chairperson. Members of the team are the:
 - a. Administrator.
 - b. Deputy Administrator.
 - c. Chief of Staff.
 - d. Executive Directors.
 - e. Chief Counsel.
 - f. Assistant Administrators.
 - g. Associate Administrators.
 - h. Regional Administrators.
 - i. Center Directors.
 - j. Director, Europe, Africa, and Middle East Office.

6. RESPONSIBILITIES.

a. The Executive Director for Administration and Resource Management shall develop the agenda for the meetings and ensure that adequate discussion time is made available.

b. The Office of Management Systems (AMS) and the Executive Secretary of the FAA Executive Board (AXA-10) are responsible for providing staff support to the team and maintaining a system for tracking action items.

7. DESIRED OUTCOMES. The desired outcomes of the AMT are:

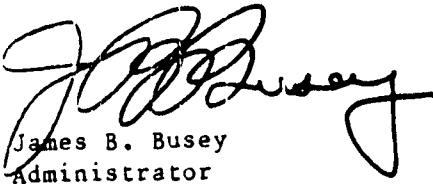
- a. Pulling together of top management.
- b. Sharing top-down direction.
- c. Giving bottom-up feedback.
- d. Communicating and sharing ideas, issues, etc., among members.
- e. Discussing specific program issues.
- f. Providing recommendations on broad key agency issues.

8. PROCEDURES.

a. The meetings will be held on a quarterly basis. The Administrator calls the meetings. Normally, every other meeting will be held outside the Washington, D.C., metropolitan area.

b. Procedures for addressing correspondence to the team are contained in Order 1360.16A, Correspondence Manual.

9. AMT OPERATING GUIDELINES. To assure a common and clear understanding of AMT roles and responsibilities, as well as agreements on how day-to-day operations and large system and long-term efforts will be managed, a publication known as the AMT Operating Guidelines will be issued to all AMT members. These guidelines will reflect AMT roles and responsibilities in such areas as decisionmaking, communications, cross-organization management, and resource management. The AMT Operating Guidelines publication will be maintained by the Office of Management Systems.



James B. Busey
Administrator

